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2 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
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4 Application Serial No. .... 09/610,160  
5 Filing Date ..... 07/05/2000  
6 Inventor..... Bruce Horn et al.  
7 Applicant ..... Marketocracy  
8 Attorney's Docket No. .... MK1-003US  
9 Title: System and Method for Determining and Tracking Performance Metrics for  
10 Individual Investors

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12 **INFORMATION DISCLOSURE STATEMENT AND**  
**CERTIFICATION UNDER 37 CFR 1.97(e)**

13  
14 The citations listed, copies attached, may be material to the examination of  
15 the subject application and are therefore submitted in compliance with the duty of  
16 disclosure defined in 37 CFR §1.56. The Examiner is requested to make these  
17 citations of official record in this application.

18  
19 I hereby certify that each item of information contained in the information  
20 disclosure statement was first cited in a communication from a foreign patent  
21 office in a counterpart foreign application not more than three months prior to the  
22 filing of the statement.

23  
24 Respectfully submitted,  
25

Date: 10-16-2001

By:   
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Reg. No. 39,384